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1 October 1997

Information Management: Automation

INFORMATION SYSTEMS FOR TRADOC ORGANIZATIONS AND INSTALLATIONS

Summary. This pamphlet provides procedures for documenting requirements for information systems and for acquiring information system equipment and information services for U.S. Army Training and Doctrine Command (TRADOC) organizations and installations. It is a consolidated source of information that includes aspects of requirements management, resourcing, acquisition and contracting.

Applicability. This pamphlet applies to all elements of TRADOC, including TRADOC tenants on non-TRADOC installations. With exception of the requirement to coordinate all information system equipment and services acquisitions with their local Directorate of Information Management (DOIM) for supportability, non-TRADOC tenants on TRADOC installations are subject to policies and procedures established by their parent Major Army Commands (MACOMs).

Suggested Improvements. The proponent of this pamphlet is the Deputy Chief of Staff for Information Management (DCSIM). Send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) through channels to Commander, TRADOC, ATTN: ATIM-I, Fort Monroe, VA 23651-5000. Suggested improvements may also be submitted using DA Form 1045 (Army Ideas for Excellence Program (AIEP) Proposal). Electronic mail address: atimi@monroe.army.mil.

Availability. This publication is also available on the TRADOC Homepage at <http://www-tradoc.army.mil>.

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FOR THE COMMANDER:

OFFICIAL:

JAMES J. CRAVENS, JR.
Major General, GS
Chief of Staff

Gary E. Bushover

GARY E. BUSHOVER
Colonel, GS
Deputy Chief of Staff
for Information Management

Distribution:
H1; TRADOC Instl: D
R1; S1



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Chapter 1

Introduction

1-1. Purpose. This pamphlet provides TRADOC's procedures for acquiring information system equipment and information services for TRADOC organizations and installations. It provides general information concerning the overall acquisition process and specific information, unique to information systems, on documenting and processing operational requirements and acquisition packages.

1-2. References. Appendix A contains the required and related publications.

1-3. Explanation of abbreviations and terms. The glossary contains abbreviations and special terms used in this pamphlet.

1-4. Scope. This pamphlet is limited to information systems, information system equipment, and information services (including visual information (VI)). Information system equipment includes any collection of hardware and software, firmware, products, procedures or other items that TRADOC uses to collect, process, store, transmit, display, and disseminate information, except:

- a. All general supply/support items (i.e., computer tape, ribbons, diskettes, ink/toner cartridges, repair parts costing less than \$100 per item, publications/manuals, and print wheels).
- b. Information system components embedded in weapon systems, machines, medical instrumentation, servomechanisms, training devices, or test and evaluation systems, which do not interface or communicate outside the host tool, system, or device.
- c. Warfighting systems, models, and simulations, which are governed by TRADOC Pam 71-9.

1-5. Overview. This pamphlet covers documenting requirements for information systems and for acquiring information systems, information system equipment or information services from the origin of the requirement through contracting.

- a. Chapter 2 provides procedures for requirements management. It includes documentation of information architectures and specific information systems requirements. It explains the format, with tailoring for information systems, and procedures for an Operational Requirement Document (ORD).
 - b. Chapter 3 covers TRADOC's procedures for approving efforts to satisfy requirements of \$200K or more (total program cost). It gives formats for briefing the HQ TRADOC IMSC and for analyzing economic benefits.
 - c. Chapter 4 explains the documentation set, collectively called the acquisition package, which the proponent and DOIM prepare to execute an approved effort. This chapter includes information technology-unique aspects of the SOW, IGCE, Purchase Request and Commitment (PR&C) and various justifications regarding the extent of competition used. It also includes a useful checklist for ensuring the quality and completeness of the acquisition package.
 - d. Chapter 5 covers aspects of contracting, including the use of TCA, contract off-loads, and government purchase cards.
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Chapter 2

Requirements Management

Requirements management is the process of identifying, integrating and documenting specific requirements for executing an organization's mission. It has both long term (architecture definition) and short term (requirement definition) components.

2-1. Architectures. Architectures provide a general framework for analyzing specific information system requirements.

organizational spans and geographic areas and each can be focused on a different period of time in the evolution of an information technology environment. Projects to acquire and implement information system equipment or information services are normally changes or additions to one of the baseline architectures. Based on priorities and anticipated resource constraints, the projects are integrated into logical groups to form time phased target architectures. The target architectures are snapshots of what the architecture is planned to look like at designated milestones. The architecture envisioned to meet all operational requirements is the objective architecture. The progression of target architectures from baseline to objective is often referred to as the migration path.

- An operational architecture (OA) is a description, often graphical, which defines the force elements and the requirement to exchange information between these force elements. It defines the types of information, the frequency of its exchange, and what warfighting tasks are supported by these information exchanges. It specifies what the information technology is operationally required to do and where these operations are to be performed. TRADOC, for the Army, is producing the first version of the OA, focusing on division level functions.
- A systems architecture (SA) is a description, often graphical, of the systems solution used to satisfy the warfighter's OA requirement. It defines the physical connection, location, and identification of nodes, radios, terminals, etc., associated with information exchange. It also specifies the system performance parameters. The SA is constructed to satisfy operational architecture requirements per the standards defined in the technical architecture. TRADOC DCSIM maintains a high level view of installation's systems architectures, available through the DCSIM home page, and has depicted the objective SA in TRADOC Plan for Reengineering Information Systems Modernization (TPRISM).
- A technical architecture (TA) is the minimal set of rules governing the arrangement, interaction, and interdependence of the parts or elements that together may be used to form an information system. Its purpose is to ensure that a compliant system satisfies a specified set of requirements. The DoD has issued the joint technical architecture (JTA) and the Army has issued the joint technical architecture - Army (JTA-A). TRADOC has promulgated the JTA-A as the command's TA, with some extensions described in TPRISM.

Figure 2-1. Architectures

a. Installation architecture. Installations will develop architectures that cover their geographic area of responsibility. The installation architectures should be dynamically maintained in electronic format. Provide an annual update during third quarter of the fiscal year in the format of an architectural framework document to DCSIM. Use the *DOD Technical Architecture Framework for Information Management (TAFIM)*, volume 4, for general guidance on methodology. Use the TPRISM for general guidance on format and specific guidance on command-wide strategies and constraints.

(1) Installation operational architecture. Although the documentation described in DODI 8020.1-M will probably satisfy the requirement, HQDA has not published guidance on producing an OA. Since lower echelon OAs build upon (decompose) functions established at higher echelons, TRADOC will not require installation level OA products until higher level guidance and contextual OA products are available. In the architectural framework document, installations will provide an overview of the operations and functions that are driving their decisions about the installation's objective system architecture. Use TPRISM for general guidance on the kind of information to include in an operational architecture.

(2) Installation system architecture. Installations will maintain a baseline and objective SA, and, as required for their migratory planning, target SAs. There is no mandatory format for documenting the SA. Use TPRISM for general guidance on format and content. Installations can augment this general format and content as necessary to manage internal information system planning. The baseline SA will portray available information system assets. Fielded solutions are documented in the baseline SA. Approved requirements, documented in unfunded requirements (UFRs), Requests for Service (RFS) and ORDs, will be shown in the installation's target and/or objective SA. In their architectural framework document, installations should provide an overview of the baseline, target and objective SAs sufficient to help decision makers understand the context for individual requirements.

(3) Installation technical architecture. All TRADOC installations will implement information systems within the constraints imposed by the JTA-A, and further extensions promulgated by TRADOC for command-wide use in

consulted and enforced when defining requirements for, and acquiring, specific information system components. The intent is to standardize on "standards," not on systems. That is, TRADOC will accept various vendors' systems as part of the architecture as long as they conform to the mandated open standards, rather than demanding the use of a particular vendor's products to ensure interoperability. If the JTA-A, TPRISM and industry standards are insufficient to enable heterogeneous systems to interface as required by the installations' missions, then selection of preferred and supported products may become necessary. DOIMs cannot provide maintenance and training support for all vendor products and are therefore permitted to restrict support to preferred products. These installation-specific choices will be documented in the installation's Architectural Framework Document submitted annually to TRADOC.

b. Command architecture. The same set of architectures as described at the installation level apply at the command level. TRADOC DCSIM will use TPRISM as its architectural framework document and will make important aspects available electronically via its homepage. The command's architectures may constrain architectural decisions available at the installation level in order to ensure command-wide capabilities. At the same time, installation level architectures inform the command level architectures and help ensure they do not set unrealistic goals and constraints.

(1) Command operational architecture. The Army's approach to OA is a hierarchical decomposition of functions. HQ TRADOC will comply with HQDA guidance on OA development, when published. TRADOC will follow both a top-down and bottom-up strategy in OA development. HQ TRADOC will provide a high level OA for installation's further decomposition as necessary to manage their own information systems planning. Functional proponents and installations will provide OA products, as required, to document specific processes and information systems requirements, which in turn will be incorporated into the command's OA. The OA will be an integration tool for HQ TRADOC in the requirements approval process.

(2) Command system architecture. HQ TRADOC will develop and maintain a system architecture for information systems that are used command-wide. HQ TRADOC SA will go down to the campus area network (CAN) level, i.e., for each installation, it will portray the buildings, local area networks (LANs), and standardized platforms connected to the CAN. DCSIM will survey installations annually for SA information necessary to manage the command system architecture. TRADOC will format this information graphically and make the resulting diagrams accessible command-wide via the DCSIM homepage. Installations can augment this data in their own SAs as necessary to manage internal information systems planning.

(3) Command technical architecture. TRADOC, like all Army activities, will implement information systems within the standards selected for the JTA-A. TRADOC will define TRADOC-specific refinements or extensions to the JTA-A that apply command-wide. These could take several forms. They may specify the TRADOC approach for implementing options within JTA-A standards. They may be additional standards for required capabilities not covered by the JTA-A. They may be a list of preferred products, which while not mandatory, are supported by TRADOC in some fashion that other products are not. These refinements and extensions will be published annually in TPRISM.

2-2. Requirements. To make the transition from the baseline architecture to the objective architecture, installations will have to identify and prioritize discrete packages of modernization requirements. The installation's baseline, target and objective SAs will be a common source of data concerning specific requirements. Requirement documentation and approval authority vary according to the estimated total program costs of the solution and whether the solution will be fielded by an activity internal or external to TRADOC (Figure 2-2). Total program costs includes all expenditures for research, development and procurement to field a solution for the stated requirement. For requirements below \$200K in total program costs, installations will establish their own documentation and coordination procedures. These procedures must ensure DOIMs review all requirements for architectural compliance. For requirements above \$200K, the procedures in this paragraph apply. Requirements at or above \$10M total program costs will be reviewed by the Information Management Support Council (IMSC) per para 3-1, but will otherwise follow the procedures in TRADOC Pam 71-9. For programs that are fielded at TRADOC installations, but are managed externally, (e.g., common user installation transport network (CUITN)), installations will assist in surveying the local environment and defining precise system requirements using documentation and procedures coordinated with the program manager and HQ TRADOC.

Criteria	Approver	Documentation	Authority
< \$200K in total program costs	Installation level	Installation determined	Installation determined
> \$200K and < \$10M in total program costs	TRADOC DCSIM	Tailored ORD	This pamphlet

Figure 2-2. Approval Thresholds

a. **Functional requirements.** Requirements for individual information systems (or modifications thereto) generally originate with the functional proponents' visions for how their mission can be accomplished better through information technology. For some common user requirements, the DOIM may act as the user. Clear definition of the functional requirements, not just the technical or system requirements, is essential for effective information system justification. DOD 8020.1-M describes how to conduct business process reengineering (BPR) to identify functional opportunities and deficiencies that are good candidates for information technology insertion. The intent of BPR analysis is to optimize the functional procedures, organization and training along with the information technology insertion. For requirements over \$200K (total program cost), the user organization will document their specific requirements by drafting and coordinating an ORD. ORDs can be generated and processed at any time during the year. ORDs can be submitted for funded or unfunded requirements, (e.g., requirement approval can be sought as a pre-cursor to programming out-year execution). ORD approval must precede any information system development or information system equipment or information services acquisition at or above \$200K. The format for an ORD is given in DODI 5000.2. For requirements below \$10M in total program costs, use the general tailoring guidelines given in Figure 2-3. For requirements above \$10M in total program costs, refer to TRADOC Pam 71-9 for documentation requirements.

1. **General Description of Operational Capability.** Summarize the overall mission area, the type of system proposed, and the anticipated operational and support concepts. Describe the specific mission need and how the proposed system will satisfy the requirement. Explain the process that investigated alternatives for satisfying the mission need and developing operational requirements. Explain the risks and benefits for the selected alternative. Provide a general description of the BPR results.
2. **Threat.** Explain the level of security required. If applicable, summarize the threat to be countered and/or the threat environment.
3. **Shortcomings of Existing Systems.** Describe why existing systems cannot meet current or projected requirements.
4. **Capabilities Required.** Identify operational performance parameters (capabilities and characteristics) required. Describe requirements in operational, output-oriented, and measurable terms. Specify each performance parameter in terms of a minimum acceptable value required to satisfy the mission need. Identify operational constraints and any special certifications. Describe unique user interface capabilities.
5. **Program Support.** Describe how the system will be integrated into the installation architecture and support services that are forecast to exist at the time the system will be fielded. Include:
 - a. requirements for computer network support, such as geographic locations to be linked, required system use times, type and volume of data to be transmitted and received, time boundaries for transmission, reception and response, and peak volumes of data. Identify computer resource constraints (e.g., language, data base, computer architecture).
 - b. requirements to exchange data with other systems; standardization and interoperability requirements.
 - c. maintenance requirements.
 - d. human systems integration to include: broad manpower constraints for operators, maintainers, and support personnel; manpower factors that impact system design; and the training concept, to include training devices.
6. **Force Structure.** Estimate the number of systems needed, including spares and training assets. Identify organizations or sites that will employ the systems or subsystems.
7. **Schedule Considerations.** Define how the solution can be phased. If availability in a specific time frame is important, specify an objective for initial operational capability. Describe the impact if this objective is not achieved and identify a window of acceptability if appropriate.

Figure 2-3. Tailoring Guidance for ORD

b. **Technical requirements.** Although it is the functional requirements that drive and justify information system modernization, the requirements definition includes some technical aspects. Users, information management officers and DOIMs all participate in expanding the functional requirement into the full ORD format shown in Figure 2-3. This need not be a sequential coordination of drafts or documents among various organizations. If appropriate, use the approach of an integrated concept team to define the requirement. Include representatives from the user, technical, and acquisition communities. The user organization must coordinate all requirements that involve information systems, information system equipment or information services with the installation DOIM prior to submitting them to HQ TRADOC. DOIMs will consider the technical alternatives, e.g., using existing capabilities, combining requirements into common-user technical solutions, or pursuing a separate solution. DOIMs will ensure the requirement, to the extent its solution can be defined, is consistent with higher level and installation level systems and TAs. DOIMs will update their target and objective SA to reflect locally approved requirements and requirements submitted to HQ TRADOC for approval. DOIMs will advise functional users about information technology marketplace trends that influence the requirement definition. DOIMs will determine whether the installation infrastructure (networking, processing platforms, support applications) can support the functional requirements as stated. If not, DOIMs will determine the associated requirements to modernize the infrastructure. These can be added to the specific requirements package under consideration or can be the start of a new requirements package for common user infrastructure assets. DOIMs and user organizations must jointly analyze the probable load placed on the infrastructure, the existing capabilities and possible solutions. Coordination will involve such parameters as geographic locations to be linked, type and volume of data to be transmitted and received, peak volumes of data, gateways and interfaces, system use times, time boundaries for transmission, reception and response; and, quantity, type and placement of processors, peripherals and communications interface devices. After this coordination between the using organization and the DOIM, installations are authorized to approve requirements up to \$200K in total program costs using locally determined procedures. Installations will submit requirements above \$200K in total program costs to HQ TRADOC for approval to implement.

Chapter 3

Approval Procedures

3-1. ORD approval. Submit requirements, using the ORD format to HQ TRADOC DCSIM (ATIM-I) for approval if the solution to the stated requirement is expected to exceed \$200K in total program costs. To facilitate electronic staffing, submit ORDs in electronic form using the standard file formats specified in the JTA-A/JTA for electronic document transmission. An ORD documents operational requirements, and its approval authorizes the initiation of an effort to meet the requirement. This is the equivalent of a milestone 0 decision. HQ TRADOC will use the IMSC (see para 3-4 below) to perform Major Automated Information Systems Review Council (MAISRC)-like review and approval of ORDs. IMSC will consider the compatibility with other planned solutions in the command, the combination of several requirements into a command-wide capability, and compatibility with higher level and command-wide architectures. DCSIM will recommend any associated command-wide infrastructure requirements. Staff functional proponents will consider consistency with the command-level vision for their functional area. Per TRADOC Pam 71-9, the IMSC is not authorized to approve requirements over \$10M in total program costs. For these, IMSC will either kill the ORD, or recommend its submission for approval to TRADOC DCSCD. DCSIM will provide the approval decision in writing to the organization that submitted the ORD.

3-2. Information system approval. Typically, installations and proponents seek not only approval of the requirement, but authority to execute their recommended program for satisfying it. This is equivalent to a compressed milestone 0/II decision. In this case, the ORD is only part of the total package forwarded for approval. All information systems or modifications to information systems over \$200K in total program costs require the approval of HQ TRADOC. Information systems or modifications to information systems under \$200K in total program costs will be managed and approved using locally developed procedures. Contract offloads must follow the same approval procedures as any other acquisition. HQ TRADOC will use the IMSC (see para 3-4 below) to perform MAISRC-like review and approval of information systems or modifications to information systems over \$200K in total program costs. During IMSC review, members will consider the compatibility of the recommended solution with other planned or fielded solutions in the command, the combination of several programs into a command-wide program, the applicability of the solution for further fielding (i.e., horizontal technology integration), compatibility with DoD or Army managed programs, the impact on command-wide operational, system and technical architectures and infrastructure requirements, and the payback period.

a. Organizations planning acquisition of or modifications to an information system which require HQ TRADOC approval will provide an approval package to HQ TRADOC DCSIM, ATTN: ATIM-I. To facilitate electronic staffing, all approval packages will be provided in electronic form using the standard file formats specified in the JTA-A/JTA for electronic document transmission. Organizations planning acquisition of or modifications to an information system

functional proponent and the installation DOIM prior to submitting it to TRADOC DCSIM. An approval package will contain the following:

(1) Executive summary showing what action or decision is sought from the IMSC, previous coordination, funding status and an abbreviated (not to exceed one page) description of the operational requirement, recommended acquisition or modification, and cost benefit.

(2) Updated ORD, or initial ORD if not previously approved.

(3) Economic analysis (EA) for acquisitions or modifications over \$2.5M (total program cost) or CBA (see para 3-4).

b. After receipt, DCSIM will determine how to dispose of the approval package.

(1) If determined appropriate, an abbreviated approval package consisting of only the executive summary plus the DCSIM's assessment will be staffed (usually electronically) to the members of the IMSC for their review and vote.

(2) If determined inappropriate for abbreviated staffing, the DCSIM will determine whether the approval package will be staffed electronically or at a formal meeting of the IMSC members. If electronic staffing is to be used, the entire approval package will be forwarded electronically by DCSIM to the IMSC members for their review and vote and no formal IMSC meeting will be held.

(3) In some cases, the organization that submits the approval package will need to brief the HQ TRADOC IMSC. When an approval package will be briefed, the briefing will follow the outline in Figure 3-1. HQ TRADOC DCSIM will advise the requesting organization and schedule the briefing. Organizations that want to initiate presentations to the IMSC will provide agenda items to DCSIM. DCSIM will schedule the presentation.

1. Results sought from IMSC.

2. Operational requirements as described in the ORD, to include:

- a. Function(s) being automated or otherwise supported by the information system
- b. Organizations and locations where the system is being deployed.
- c. Interoperability requirements.
- d. Information exchange and connectivity requirements.
- e. Training requirements.

3. Analysis of alternatives, including the results of the CBA or EA. Explain the payback period and methodology used to determine the payback period and how this will be obtained through implementation of requested system. Identify the expected life of the system and the system that will be replaced by this project, if applicable.

4. Benefits. Explain all benefits and cost savings to the organization, TRADOC, and the Army, resulting from the acquisition of the system. Include intangible benefits and/or cost avoidance. Sunk costs should be explained and benefits should be quantified when possible. Benefits that cannot be assigned a dollar value (i.e., productivity gains) can sometimes be quantified in other terms. It is important that all significant benefits be included whether quantifiable or non-quantifiable. Benefits must be presented so the decision maker can recognize the desirable returns of acquiring the proposed system.

5. Acquisition strategy. Outline how the system will be or is being acquired. Include identification of supporting acquisition agency or office. Address such areas as competition, preliminary solicitation, contractual vehicle, and prototyping.

6. Impact on the installation(s)' system architecture. Explain the integration of the proposed solution with the available infrastructure and any modernization required for full operational capability.

7. Schedule. Identify when the next milestone/phase should be reached. Provide dates of previous phases/milestones. Also, provide projected schedule for the life cycle management reviews.

8. Resources. Summarize the estimated life cycle cost and program cost. Identify Operations and Maintenance, Army (OMA) and Other Procurement, Army (OPA) requirements, availability of funds, and source of funding. Also, identify any additional resources necessary (i.e., manpower, equipment, facilities, government furnished equipment, etc.) to complete this project.
9. Program management structure to include resourcing, development and testing responsibilities, and reporting channels.
10. Test strategy.
11. Constraints. Identify all problems or circumstances that will have an adverse critical impact on the acquisition.
12. Conclusion. Solicit results from IMSC--system approval, waiver to payback, etc.

Figure 3-1. IMSC Briefing Outline

c. DCSIM will notify submitting organization of the disposition of the approval package. DCSIM prepares the results of electronic staffing, minutes of the meetings, and develops staff actions needed to carry out decisions of the council unless those staff actions are assigned to another agency. DCSIM will provide the approval decision in writing to the organization that submitted the approval package.

d. HQ TRADOC will specifically approve lease or rentals of information system equipment which exceed \$200K (including maintenance). Installations will approve those that are less than \$200K. Leases are subject to the same requirements and restrictions that apply to other types of acquisition strategies. A thorough lease/purchase analysis should be done for all acquisitions.

e. Procurements for hardware maintenance and routine software maintenance do not require approval. These items are considered normal cost for sustaining a previously approved system.

3-3. Information Management Support Council.

a. HQ TRADOC IMSC will :

- (1) Perform MAISRC-like review and approval of information systems/projects/procurements exceeding \$200K.
- (2) Recommend prioritization of information management area (IMA) UFRs, as required.
- (3) Advise the command on issues relating to information resource management (Automation, Telecommunications, Visual Information, Records Management, and Printing and Publications).

b. Members of the IMSC are the HQ TRADOC DCSIM (Chairperson), Assistant Chief of Staff*, ADCSCD*, ADCSBOS*, ADCSIM*, ADCST*, ADCSRM*, ADCSSA*, ADCSDOC*, ADCSINT*, Fort Monroe DOIM, OIRAC, Cadet Command Chief of Staff, and SJA. (Voting members are identified by an asterisk (*)).

c. In accordance with (IAW) AR 25-1, each installation must also have an IMSC or similar review council.

3-4. Cost Benefit Analysis (CBA)/Economic Analysis (EA).

a. A CBA/EA must be completed for all information system acquisitions or modifications costing \$200K to \$2.5M (total program cost). Acquisitions or modifications exceeding \$2.5M (total program cost) require an EA and documentation IAW AR 11-18.

b. CBA/EA will be included as part of the information system approval package forwarded to HQ TRADOC, ATIM-I for IMSC approval. Local resource manager and DOIM will review the CBA prior to submission.

c. HQ TRADOC DCSRM, ATRM-P, validates CBAs/EAs. DCSRM can provide a spreadsheet and assistance for completing a CBA.

d. A CBA is not required for acquisitions restricted to routine maintenance of hardware and software, service contracts for nondevelopmental work, procurements designated by the IMSC as life cycle replacements, or procurements/systems directed in writing by higher headquarters (i.e. DA or DoD). If an organization thinks a procurement action is a life cycle replacement, they should send a memorandum through DCSIM to the IMSC citing the information system component(s) to be replaced and the replacement information system component(s).

e. The IMSC can approve projects and acquisitions which show a payback period of less than two years.

f. TRADOC Chief of Staff will approve those with a greater payback period based on IMSC review and recommendation.

g. The format for a CBA is as follows:

(1) Operational requirement. Per chapter 2, the operational requirement will be documented in an ORD. In most cases, the ORD will be included in the approval package with the CBA. If so, simply cite the applicable ORD. If not so, then the CBA must provide sufficient information about the operational requirement for assessing the CBA.

(2) Assumptions and constraints. List the underlying assumptions and constraints. Examples of assumptions and constraints include: compatibility with architectures; interoperability with other specified systems; funding limitations (explain what they are, and who imposed them); and life cycle replacement timelines. Consider specific assumptions and constraints that apply to the recommended solution.

(3) Alternatives. Identify at least two feasible alternatives (minimum). One must be the status quo (alternative 1) and another the recommended solution (alternative 2). List the pros and cons for each alternative.

(4) Recommended alternative. Explain the rationale for the recommended solution. List the benefits and the cost savings or avoidances.

(5) Cost data for attached CBA worksheet. Explain the source of each cost in the worksheet and the methodology used for its computation. Include costs for each alternative.

(6) Payback period. Indicate the bottom line of the worksheet—the Payback Period.

(7) Milestones. List all the important dates for project execution.

(8) Cost and savings worksheet. DCSRM can provide an MS Excel spreadsheet format for the cost and savings worksheet. Each alternative must have a separate worksheet. Questions on completing this spreadsheet should be directed to the DCSRM POC (ATRM-P).

(9) CBA justification review document. The CBA justification review document substantiates required coordination and approvals prior to action by the TRADOC IMSC. The minimum contents of a CBA justification review document are shown in Figure 3-2.

PROJECT NAME**Functional POC:**

NAME
Title
Phone

Date
Organization
E-Mail
USERID

DOIM: Installation DOIM has reviewed the requirement and solution. The supporting data is accurate and complete.

NAME
Title
Phone

Date
Organization
E-Mail
USERID

TECHNICAL POC: I have reviewed this project and all other options to accomplish the mission requirements. The attached solution is the best for the Army and TRADOC.

NAME
Title
Phone

Date
Organization
E-Mail
USERID

RESOURCE MANAGEMENT: I have reviewed this CBA.

NAME
Title
Phone

Date
Organization
E-Mail
USERID

Figure 3-2. CBA Justification Review Document

h. The format for an EA can be found in AR 11-18, The Cost and Economic Analysis Program.

3-5. Identify Funding Categories. Identify the correct type(s) of funds that will be used for acquisition of information systems, information system equipment or information services. This is a complicated issue with many variables. Users are directed to guidance on the OPA and OMA funding categories contained in DFAS-IN Manual 37-100-XX series. System upgrades made within the first 12 months of original acquisition must be included as part of total system costs. If initial system costs plus upgrades total more than \$100K, OPA dollars are required.

3-6. Determine resource availability. Approved operational requirements must be matched to resources. An approved ORD or an approval package constitutes nothing more than permission to execute an approved solution if resources are available. Neither ORD nor package approval in itself provides the resources to implement the solution. Determine, in coordination with resource managers, how the approved requirement will be funded.

a. Resourcing may come from a variety of sources including the user organization, DOIM, installation automation accounts, or external organizations. If the resources are available and necessary approvals have been granted, proceed to implement the solution using the procedures given in Chapter 4.

b. Some approved operational requirements will remain unresourced. Such a requirement, generally called a UFR, must compete for resources. It must be re-emphasized that both funding approval (through the funding source) as well as acquisition approval (through the procedures described in this pamphlet) are required to execute an information systems project. In the specific case of TRADOC's key enabling investment (KEI) resource competition, submissions for new information systems or modifications to existing ones over \$200K total program costs must be reviewed in a timely manner by the IMSC, i.e., before a decision-making Senior Program Review Advisory Committee (SPRAC). IMSC recommendations will be provided to the SPRAC for consideration before funding. This should not be construed to mean that ORD/package approval must always precede a KEI submission. Approval packages may be submitted

prior to or with the KEI submission. DCSIM will ensure that an IMSC review is scheduled to review and act on approval packages submitted with KEI submissions prior to the first KEI SPRAC session.

c. The documentation format for a UFR can vary according to the particular resource management process being used, e.g., program objective memorandum (POM), or Research, Development and Acquisition (RDA) plan. Follow the procedures for documentation and coordination promulgated for the specific process, but for UFRs involving information systems, information system equipment or information services, as a minimum, cover the topics in Figure 3-3 somewhere in the description.

- a. Descriptive title.
 - b. The specific organization and function the project supports. Relate this to the command's or installation's operational architecture if appropriate.
 - c. Narrative description of the project and the *specific* additional capability it will provide. Relate this to the command's or installation's system architecture.
 - d. Description of the consequences of not funding or partial funding of the project, e.g., DOL will have 37 non-DMS capable machines.
 - e. Other projects, if any, on which this one depends for successful implementation.
 - f. Other projects, if any, that depend on the start or completion of this project.
 - g. Expected time to complete.
 - h. Estimated total cost.
 - i. POC, telephone number, e-mail address for technical details.
- In addition, projects which are being submitted for execution within the next fiscal year should also include:
- j. Detailed cost itemization of all items or groups of like items costing more than \$3,000. Include quantity and unit costs. Additional items should be listed under categories such as misc. hardware (HW), misc. software (SW), etc. to account for total cost.
 - k. Whether or not incremental funding is acceptable and, if so, in what increments. Address executability of separate OPA and OMA increments.
 - l. Lead time required to execute.
 - m. If available, ORD approval date for solutions over \$200K.

Figure 3-3. Mandatory UFR Information

3-7. Program infrastructure requirement. For resourced requirements, the user organization will coordinate with the DOIM(s) to ensure any associated information infrastructure requirements are programmed. (Requirements for infrastructure may also originate as common-user issues, in which case the DOIM may be acting as the user organization.) These associated infrastructure requirements are initially identified in general terms (see para 3-1) and must be verified for the specific solution. Documentation can take several forms depending on the agency that is funding and executing the solution. For local communication solutions, the installation determines its own procedures for documentation, coordination and approval (e.g., Local Service Request). For long haul communication solutions, the DOIM generates a RFS, based on their coordination with users, and forwards it directly to Defense Information Technology Contracting Organization (DITCO). Follow guidance issued by DITCO for documenting the required services.

3-8. Prioritize unfinanced requirements. For unresourced requirements involving information systems, information system equipment or information services, the installation will maintain a prioritized list. Maintain the list in such a way that it will be a tool for quick reaction decisions on where resources can be opportunistically applied. The list should support decisions about the utility of partial funding and the required synchronization links among separately

packaged requirements. Ensure links between functional requirements and associated infrastructure requirements are kept apparent. Distinguish between OPA and OMA costs if applicable. Include a snapshot of the installation's prioritized UFR list for information systems, information system equipment or information services in the annual Architectural Framework Document. Modify the installation's objective SA, and target SAs if applicable, to illustrate the projected impact of the required solution. For UFRs over \$200K without approved ORDs, the user organization should determine the utility of seeking ORD approval as one step toward quicker execution of unprogrammed resources.

Chapter 4

Acquisition

PART I

Acquisition Package Documentation Requirements. All information system, information system equipment or information service acquisition packages will be routed through the DOIM who will authenticate and forward them to the appropriate acquisition agent as listed below.

4-1. Acquisition package for competitive procurements (other than Off-the-Shelf). DOIM will send competitive procurements for acquisitions over \$100K to TCA and others to the local Directorate of Contracting (DOC), by cover memorandum with the following attachments:

- a. DOIM authentication (see para 4-15).
- b. DA Form 3953 (see para 4-11).
- c. SOW (see para 4-9).
- d. DD Forms 1423 and 1664 (if applicable).
- e. Competitive specifications (see App C).
- f. Other information, as appropriate (see App C).
- g. IGCE (see para 4-10).
- h. A signed copy of the contract decision document/checklist for acquisitions \$100K or greater (see para 4-16).

4-2. Acquisition package for competitive procurements (Off-the-Shelf). DOIM will send competitive procurements over \$100K to TCA, and others to the local DOC, by cover memorandum with the following attachments:

- a. DOIM authentication (see para 4-15).
- b. DA Form 3953 (see para 4-11).
- c. Competitive specifications (see App C).
- d. IGCE (see para 4-10).
- e. A signed copy of the contract decision document/checklist for acquisitions \$100K or greater (see para 4-16).
- f. Other information, as appropriate (see App C).

4-3. Acquisition package for using standard requirements contracts. Procurements from standard requirements type contracts should be sent from DOIM to DOC by cover memorandum with the following attachments:

- a. DOIM authentication (see para 4-15).
- b. DA Form 3953 (see para 4-11).
- c. List of CLINs with item name.

4-4. Acquisition package for noncompetitive procurements (under \$100K). DOIM will send requests for noncompetitive acquisitions under \$100K to the local DOC by cover memorandum with the following attachments:

- a. DOIM authentication (see para 4-15).
- b. DA Form 3953 (see para 4-11).
- c. IGCE (see para 4-10).
- d. Other information, as appropriate (see App C).
- e. Request for sole source approval (HW/SW) (over \$2,500/under \$100K) (see para 4-12 and 4-13).

4-5. Acquisition package for noncompetitive procurements (over \$100K). DOIM will send requests for noncompetitive acquisitions over \$100K, except those for hardware maintenance, which are sent to the local DOC, to TCA by cover memorandum with the following attachments:

- a. DOIM authentication (see para 4-15).
- b. DA Form 3953 (see para 4-11).
- c. Justification and approval (J&A) for other than full and open competition (see App B).
- d. A signed copy of the contract decision document/checklist for acquisitions \$100K or greater (see para 4-15).
- e. IGCE (see para 4-10).
- f. Other information, as appropriate (see App C).

4-6. Acquisition package for information services (competitive). DOIM will send competitive procurements for information services to TCA (over \$100K) or DOC (under \$100K) by cover memorandum with the following attachments:

- a. DOIM authentication (see para 4-15).
- b. DA Form 3953 (see para 4-11).
- c. SOW (see para 4-9).
- d. DD Forms 1423 and 1664 (if applicable).
- e. Non-personal services contract questionnaire (see para 4-17).
- f. IGCE (see para 4-10).
- g. A signed copy of the contract decision document/checklist for acquisitions \$100K or greater (see para 4-16).

4-7. Acquisition package for information services (noncompetitive). Noncompetitive procurements for information services will be sent to TCA (over \$100K) or DOC (under \$100K) by cover memorandum with the following attachments:

- a. DOIM Authentication (see para 4-15).
- b. DA Form 3953 (see para 4-11).
- c. SOW (see para 4-9).
- d. DD Forms 1423 and 1664 (if applicable).
- e. Non-personal services contract questionnaire (see para 4-17).
- f. Justification for Noncompetitive Acquisition (Support Services) (over \$2,500/under \$100K) (see para 4-14) or J&A

(over \$100K) (see App B).

g. A signed copy of the contract decision document/checklist for acquisitions \$100K or greater (see para 4-16).

h. Other information, as appropriate (see App C).

4-8. Acquisition package for renewals. DOIM will send requests for HW/SW maintenance, software license, and support services contract renewals to the local DOC or TCA as identified in para 4-1 through 4-7 by cover memorandum with the following attachments:

a. DA Form 3953 (see para 4-11).

b. Copy of sole source approval, to include systems life (if applicable).

(1) If original approval was noncompetitive, provide copy of basic approval.

(2) If original requirement was competitive and you are now requesting sole source renewal, you must obtain sole source approval from DOIM and provide a copy with your renewal package.

c. Specifications. Specifications are required for both competitive and noncompetitive service contracts—we still have to tell the contractor what he or she must do (see App C).

d. Prior year purchase/delivery order number. If other than TCA order (DABT60) number, you must provide complete documentation and a copy of the order.

e. J&A (if over \$100K) (if applicable) (see App B).

f. A signed copy of the contract decision document/checklist for acquisitions \$100K or greater, (see para 4-16).

NOTE: If your current request includes items not on last year's order, you will not be covered by a contract for these items until the contract award has been made. You have no authority to request the contractor to perform unless you process a one-time order through your local DOC.

Part II

Acquisition Package Documentation Formats

4-9. Statement of Work (SOW). The format for a Statement of Work is shown in Figure 4-1.

STATEMENT OF WORK

a. **Objective.** Specify the services or products desired.

b. **Background.** Describe the problem. Indicate how the effort relates to the following:

- (1) The mission of the agency/command.
- (2) Prior or ongoing in-house or contract efforts.

c. **Tasks.** This is the primary element of the SOW. Describe in detail what is to be accomplished. The emphasis should be on what is to be done, not how it is to be done. SOW should contain enough detail to ensure that the contractor can develop a plan to meet the objectives and standards of performance of the effort. It should also include objectives that the Army can use to measure contractor performance. It should not contain such detail as to inhibit the contractor from full use of capabilities and resources.

d. **Deliverables.** List the products to be produced. For each, indicate quantity, place of delivery, and schedule of delivery. All dates in the SOW should be stated relative to the date of contract award. If development and delivery of data items is required, this information is to be provided on DD Form 1423 (Contract Data Requirements List), with supporting DD Form 1664 (Data Item Description). DD Form 1423 must be attached to all SOWs. (DD 1423 not required if data is "off-the-shelf" or otherwise already exists.)

e. **Control procedures.** Describe the means that will be used to maintain quality control.

(1) Reviews. Indicate if progress review meetings will be necessary (normally only if a cost reimbursable development effort).

(2) Reporting. Specify whether the contractor must submit written progress reports to the Contracting Officer (and the COR, if used) and the frequency of the reports (e.g., monthly, bi-monthly, quarterly). Specify the desired contents of the reports, such as technical progress and fund expenditure (normally only for a development effort).

f. **Government-furnished support.** Specify facilities (and locations), equipment, furniture, phone (normally only local calls), administrative support, data, documents, computer software and hardware, and other materials that will be made available for contractor use. Be sure to indicate the time schedule for providing this support.

NOTE: See CHECKLIST OF REQUIREMENTS (para 4-18 of this pamphlet) for additional information on things to consider in the Statement of Work.

Figure 4-1. Statement of Work

4-10. Independent Government Cost Estimate (IGCE).

a. An IGCE is required for all acquisition packages submitted to the contracting office. The complexity of the estimating technique should be commensurate with the complexity of the acquisition.

b. The IGCE is one of the important factors which the contracting officer (CO) must consider in making the mandatory determination that the proposed contract price is fair and reasonable.

c. Sources of IGCE data include budget and programming estimates, past purchases, knowledge of comparable products, technical literature and vendors' catalogs. If the requirement is for a service, draw on experience with previous contracted efforts or performing the service in-house. For example, consider how many people, for how long, at what general schedule (GS)/wage grade (WG) rate, plus anticipated materials for performance (include breakdown by category, not just bottom line).

d. The IGCE must be an independent estimate. Do not contact vendors for price quotes. Use only information available to the government (i.e., catalogs, trade magazines, advertisements, previous contracts).

e. Figure 4-2 provides a sample format for an IGCE. The most important elements of the estimates, and the rationale for each, are discussed below.

LABOR CATEGORIES	NO. OF MANHOURS	RATE	AMOUNT
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
Subtotals:			
Overhead 100%:			
Subtotal:			
Materials:			
Travel:			
Other Direct Costs:			
Subtotal:			
G&A 10% of Subtotal:			
Total Costs:			

Figure 4-2. Independent Government Cost Estimate

f. Estimate required labor categories and the respective number of man-hours for each, travel and materials. In order to quantify the estimate in terms of dollars, a 100% overhead can be applied to the estimated labor costs; and 20% overhead applied to total costs to cover G&A and profit. Provide the rationale for the estimate used for each element.

(1) **Labor categories.** List the required labor categories. They should be sufficiently descriptive to allow comparison to contractors' proposals. If junior and senior levels are required, so specify. Explain the rationale for the categories, e.g., in-house experience or a previous contracted effort. If the latter, provide the contract number and contractor name.

(2) **Man-hours.** Estimate the man-hours, rate and labor cost for each labor category. Provide the rationale for the estimates.

(3) **Materials.** Estimate the categories and costs of all required materials. Normal office supplies are usually included in an overhead estimate, but any materials used in fabrication of and/or equipment such as vehicles, computers, office furniture, nuts and bolts, etc. must be estimated. Again, the basis for the requirement and how the dollar estimate was arrived at must be fully explained.

(4) **Travel.** Estimate the number of required trips, destinations, number of personnel required to take trips, purpose, and number of days. Estimate costs based on airfare, rental car, and per diem costs per trip.

(5) **Other direct costs.** Estimate and categorize any other costs that may be incurred to perform the required effort, e.g., consultant costs and computer services. Provide the rationale.

4-11. Purchase Request and Commitment (DA Form 3953).

a. Information systems, information system equipment or information services may be requisitioned using either a DA Form 3953 or a DD Form 1348-6. Do not use DA Form 3161 to request information system equipment.

b. If DA Form 3953 is used, each line must have a separate document number. Space must be left for the installation's supply division to enter a locally assigned management control number. An original certifying official signature must be on the form itself or in an accompanying letter specifying applicable requisition number and dollar figures for each. The requisition must be processed through the supply support activity (SSA). Requirements for services such as installation or maintenance must be requested using a separate DA Form 3953 and will not be processed by the SSA. The separate DA Form 3953 for associated services should be attached (and cross referenced) to the package with a request that the two not be separated when they are processed through stock fund channels.

c. If different vendors are expected to provide components of the procurement request, submit separate DA Form 3953s for each vendor. If the procurement request is for generic items that could be provided by more than one vendor, combine them on one DA Form 3953.

d. If ordering a complete system, so state, giving a full description of each separate orderable item.

e. The following blocks are those where mistakes most frequently occur:

(1) "Requisition Number" must be in the standard unit identification code (UIC)/Julian Date/Serial Number format (i.e., W26R1P 8123-0001). The first part is an alphanumeric designator that identifies the requiring activity; the second part is the Julian date; the third part is a sequential serial number. If this type numbering system is not used for each line item on the requisition, the document number can not be entered into the computer system and will be returned by the contracting activity for correction.

(2) "Delivered To" must contain full "Ship To" and "Mark For" instructions, addresses, POC and commercial phone number, required predelivery notice, and any time/day delivery requirements or restrictions.

(3) "Not Later Than" should reflect a calendar date or a number of days after contract award that supply/service is required. If the required time is sooner than can be achieved with a normal acquisition lead time, include a justification for urgency and an impact statement if the required delivery date is not met.

(4) Ensure "Name and Telephone Number of Person to Call for Additional Information" reflects the DOIM (or his designee) as the single POC and includes DSN and commercial prefixes. TCA will not provide status information to anyone unless they are listed as the POC.

(5) "Local Purchase Authority" should be AR 25-1, 70-1, and 71-9.

(6) Appropriate "Accounting Classification" and "Amount" must be certified by the Funds Certifying Official (include phone number). Unless otherwise noted, it will be assumed:

(a) "2020" funds expire 30 September of the current fiscal year (FY).

(b) "2035" funds expire 30 September of third FY.

(c) "2040" funds expire 30 September of second FY.

(d) "2080" funds expire 30 September of the current FY.

(e) "97X49030" expires 30 September of the current FY.

(7) Distribution of the final contract document will include: (DOIM is recommended addressee).

(a) Requester (provide full mailing address).

(b) DOIM.

(c) "Ship To" address(ees).

(d) Finance office (provide full mailing address).

(e) COR (if applicable) (provide full mailing address).

(f) Fund certifying fund approving official.

(g) Others (you must list and provide full mailing address).

4-12. Justification for noncompetitive acquisition (hardware). Figure 4-3 provides the format for a justification for noncompetitive acquisition of hardware under \$100K.

Specific make and model specifications. Describe the minimum required features and capabilities which the system or equipment must possess. Provide the name of vendor and equipment with quantity and costs.

Vendor source evaluation and selection. Explain how the requested vendor, system or equipment was evaluated and why it was determined to be the only vendor or equipment to do the job. Explain what steps were taken to conclude that no other known or possible equipment or source exists. State the constraints such as schedule requirements, unique features and mandatory requirements, or the existence of patent, copyright, or other such limitations which limit this action to a sole source acquisition. If there are other similar products, describe the technical aspects to explain why the product is unacceptable. Also include information regarding costs already invested, and any replacement costs if requested item is not received.

Impact if disapproved. State impact on accomplishment of mission requirements if this request is not approved.

REQUIREMENTS CERTIFICATION: Include the following statement:

"I certify that the supporting data under my cognizance, which are included in this document, are accurate and complete to the best of my knowledge and belief."

(TO BE SIGNED BY THE REQUESTER)

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

TECHNICAL CERTIFICATION: Include the following statement:

"I certify that the supporting data under my cognizance, which are included in this document, are accurate and complete to the best of my knowledge and belief."

(TO BE SIGNED BY THE DOIM)

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

Figure 4-3. Justification for Noncompetitive Acquisition (Hardware)

4-13. Justification for noncompetitive acquisitions (software). Justification for non-competitive acquisition of software under \$100K will be made using the format in Figure 4-4.

Description of software package(s). Describe the minimum required features and capabilities which the software package(s) must possess. Provide a list of software with vendor, version, quantity, and costs.

Vendor(s) source evaluation and selection. Explain how the requested vendor, or software package(s) was evaluated. Include why it was determined to be the only vendor/software package(s) that could do the job. Explain what steps were taken to conclude that no other known or possible software or source exists. State the constraints such as schedule requirements, unique features and mandatory requirements, or the existence of patent, copyright, or other such limitations which limit this action to a sole source acquisition. Ensure that any contact with vendor(s) is strictly general information and not related to the specific requirement. If there are other similar products, describe the technical aspects to explain why the product is unacceptable. Also include information regarding costs already invested, and any relevant replacement costs if requested item is not received.

Impact if disapproved. State impact on accomplishment of mission requirements if this request is not approved.

REQUIREMENTS CERTIFICATION: Include the following statement signed by the functional proponent.

"I certify that the supporting data under my cognizance, which are included in this document, are accurate and complete to the best of my knowledge and belief."

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

TECHNICAL CERTIFICATION: Include the following statement signed by the DOIM.

"I certify that the supporting data under my cognizance, which are included in this document, are accurate and complete to the best of my knowledge and belief."

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

Figure 4-4. Justification for Noncompetitive Acquisitions (Software)

4-14. Justification for noncompetitive acquisition (information services). Justification for noncompetitive acquisition of information services under \$100K will be made using the format in Figure 4-5.

Description of requested information service. Identify the proposed vendor, provide a statement of the services the contractor is expected to provide, and indicate when the services are to be performed.

Vendor source evaluation and selection. Explain how the requested vendor was evaluated, and why this vendor is the only one who could do the job. Explain what steps were taken to conclude that no other known or possible source exists. If the need is based on the unique qualifications of the specified vendor, provide specific information identifying the qualifications and how they satisfy the requirements. Discuss the constraints such as schedule requirements, unique qualifications, or other such limitations which limit this action to a noncompetitive acquisition.

Impact if disapproved. State impact on accomplishment of mission if this request is not approved.

Figure 4-5. Justification for Noncompetitive Acquisition (Information Services)

4-15. DOIM authentication.

a. An authentication from the installation DOIM must be included in the acquisition package whether it will be forwarded to the TCA or the local DOC. TRADOC DOIMs will also authenticate acquisitions from non-TRADOC tenants on a TRADOC installation. Regardless of format used, the authentication must cover the points shown in Figure 4-6. More specifically, it must contain the word CERTIFICATION in association with one of the following statements:

(1) the acquisition complies with the standards prescribed by the JTA-A; or

(2) the acquisition is from a DA/DoD standard requirements contract that has been certified as compliant with the JTA-A; or

(3) the acquisition is exempt from JTA-A compliance because it is a totally stand-alone asset.

OFC SYMBOL (File Designation)

MEMORANDUM FOR:

SUBJECT:

1. DOIM (or his designee, specify) has reviewed the requirement and the solution and the supporting data is accurate and complete to the best of my knowledge.
2. If \$200K or over, solution has been approved IAW TRADOC Pam 71-9 or TRADOC Pam 25-72.
3. Using activity or MACOM if non-TRADOC tenant.
4. Authentication applies to Requisition Number(s): _____
5. Dollar amount of this acquisition is: _____
6. Year and type of funds and rationale: (OPA, OMA, RDTE, other)
7. Certification is given that (insert a statement that applies)
 - Acquisition complies with the standards prescribed by the joint technical architecture - Army (JTA-A).
 - Acquisition is from a DA/DoD standard requirements contract that has been certified JTA-A compliant.
 - Acquisition is exempt from JTA-A compliance because it is a totally stand-alone asset.;
8. This acquisition meets command and installation level technical and system architecture. (If not, explain)
9. Solution has been coordinated with the installation security manager.
10. DOIM POC: (NAME/DSN #/Commercial #/E-Mail Address)
11. Technical POC: (NAME/DSN #/Commercial #/E-Mail Address)

NOTE: A change in the acquisition package (also includes modifications to contracts/orders already awarded) after authentication may necessitate an amended authentication.

Figure 4-6. Sample DOIM Authentication Format

b. DOIM will maintain an electronic listing of authenticated acquisition packages, including at least the title, dollar amount, date approved, and a description of items or services purchased.

c. DOIM authentication is not needed for hardware/software maintenance contracts.

d. If a CAPR form is used locally, and has the above elements addressed, it is considered DOIM authentication upon approval.

e. Any questions regarding the applicable architectures and standards should be referred to HQ TRADOC, ATTN: ATIM-I. HQ TRADOC may withdraw certification authority if it is not enforced at the installation level.

4-16. Contract decision document.

a. An approved contract decision document must be submitted to contracting with:

(1) Each acquisition package for new contracts of \$100K or more (to include all options).

(2) Each modification request, in scope and out of scope, to a mission contract which increases the dollar amount by \$100K or more.

(3) Each delivery order for a mission contract, regardless of the dollar amount when work required in the delivery order was not specifically defined at the initial contract award.

b. The format for the contract decision document is in Figure 4-7.

1. Name of approving official: _____

2. Customer Code: _____

3. Type of action:

_____ New Contract

_____ Modification

_____ Delivery Order

Contract Number _____

Contract Number _____

4. Title of Contract/Project: _____

5. Funding:

_____ Detailed independent government cost estimate prepared IAW TRADOC Pam
715-6, dated 15 Dec 93, attached.

_____ Purchase Request and Commitment attached.

_____ Year and type of funding approved by resource manager.

\$ _____ OMA \$ _____ OPA \$ _____ RDT&E

6. _____ Milestone schedule for contract completion/mission accomplishment atchd.

7. _____ Coordinated with and approved by the Acquisition Planning Team/Board.

Name _____ Organization _____

8. _____ Acquisition strategy is current and accurate.

9. Submitted in TAAPS forecast? Yes _____ No _____ Date _____

If not submitted, justification for non-submission attached.

10. Name of Contracting Officer's Representative or Technical Representative nominee for new contract:

11. _____ Acquisition package prepared in accordance with TAAPS Policy 94-6.

12. Certification by Colonel (06), GS-14, or above.

Certification

1. This effort does not duplicate work for which there is a current contract within TRADOC available for use by this activity.

2. TRADOC in-house resources were not available to support this effort.

3. This effort does not include inherently government functions.

4. This acquisition is a bona fide need in accordance with Army Regulation 37-21 and 31 U.S. code 1302(a).

5. Acquisition team/board members have received required briefings on DoD Directive 5500.7, Standards of Conduct, dated 30 August 1994.

6. The attached acquisition package is complete and accurate.

NAME: _____

SIGNATURE: _____

POSITION: _____

DATE: _____

FOOTNOTES:

1. If a single request is submitted for hardware and software maintenance (other than initial competitive system acquisition), it must be adequately justified. This is especially true if the hardware maintenance could have been competitive if not combined with the software maintenance. In recent protest actions the courts have held that without convincing technical or mission justification, the requirements must be broken out to increase competition opportunities for third party vendors. Essentially they are not saying you cannot have a single contract for both. They are saying the requirement must be fully justified.

2. TCA will continue to process those requirements for which the activity chooses to utilize TCA contracting support.

3. If you are requesting hardware and software as part of the same package, you may include both on the hardware format. For software only requests, please use the software format.

4. For more detailed instructions, see the *TRADOC J&A Handbook*.

5. For more detailed instructions, see TRADOC Pam 715-6, *Independent Government Estimate Preparation Guide*.

Figure 4-7. Contract Decision Document

4-17. Non-personal services contract questionnaire. The format for non-personal services contract questionnaire is shown in Figure 4-8.

Requisition Number(s) _____
a. The following questions are to be answered by the individual initiating the procurement request for services. They will be considered by the Contracting Officer when determining the nature of the services. (1) Is this a follow-on procurement? Yes _____ No _____ Contract No. _____ (2) If it is a follow-on procurement, are the contractual requirements, terms/conditions basically unchanged? Yes _____ No _____
b. The following questions must be answered in their entirety: (1) Will contractor personnel exercise personal judgment on behalf of the Government? If yes, explain the degree of discretion involved. (2) Will the requiring activity assign tasks or prepare work schedules for contractor employees? If yes, why is it necessary? (3) How will the performance of the work be monitored? Who will review performance? (BE EXPLICIT) (4) What material or property is to be furnished to the contractor? (5) Will the contractor occupy Government office space? (6) Will the requiring activity exercise control over individual contractor employees? (For example, will the contractor's employee(s) be integrated into the Government's organization and/or report to a Government employee?) Will the contractor be directed through day-to-day ongoing contact on how to perform his or her services? Will the Government in any way establish the contractor's work routine? (7) Will the requiring activity direct the contractor through day-to-day ongoing contact on how to perform contract services? Will it, in any way, establish the contractor's work routine outside the contract statement of work?
PREPARED BY: _____ JOB TITLE: _____ DATE: _____
Pursuant to FAR 37.103 and on the basis of the preceding information and a review of the procurement request, it is my determination that the services to be acquired are personal, non-personal in nature.
DATE _____ CONTRACTING OFFICER _____
I concur with the Contracting Officer's determination as documented above.
DATE _____ LEGAL COUNSEL _____

Figure 4-8. Non-personal Services Contract Questionnaire

Part III General Guidance

4-18. Competition. Justification is required for anything other than full competition. The use of the term "or equal" with a brand name to express requirements or specifications does not in itself make a solicitation competitive. A solicitation will be considered full and open competition, only if the following conditions exist:

- The requester certifies in writing to the CO that an "equal" actually exists before the solicitation is issued and provides examples, (i.e., when more than one "or equal" product is known, they must all be identified).
- The salient characteristics are not so restrictive as to preclude anything but the brand name to be technically acceptable. An acceptable technical range should be included in the salient characteristics, wherever possible, to assure "or equal" competition (i.e., 3-5 feet not 4 feet).
- Orders against GSA non-mandatory schedule contracts will be placed under competitive procedures to the maximum extent practicable. The use of these contracts for requirements available from only one responsible source

will be certified, justified, and approved.

d. Acquisition packages that cannot use full competition or the guidelines above for brand name or equal, will include one of the justifications for noncompetitive acquisition described in para 4-12 through 4-14 and App B.

4-19. Contacts with Vendors.

a. The Army has delegated contracting authority to warranted contracting officers or their designees. The specific authority and limitations of the designee are contained in their appointment letter. Persons who have not been designated as contracting officers (or their designees) are not permitted to:

- (1) Contact vendors or bidders to negotiate prices or delivery of an item.
- (2) Solicit price quotes or technical proposals for any purpose, including "planning" purposes or to develop an IGCE.
- (3) Provide contracting information or government price estimates to contractors.
- (4) Tell contractors or bidders about their competitors' bids or proposals. (Note: Not even contracting officers can divulge such information.)
- (5) Permit or instruct a contractor to change the technical provisions of a contract.
- (6) Modify or alter the scope of effort prescribed in an existing contract.
- (7) Make statements regarding a contract, bid, project, or proposal which may be construed as a commitment by the government.
- (8) Sign letters of intent to purchase.
- (9) Sign license agreements.
- (10) Request or accept from a contractor a loaned piece of equipment, software, free sample, or free (on site or at contractor site) demonstration for any reason. All such situations must be referred to the CO. Where it is desirable to accept a loan or demonstration, the following guidelines apply:
 - (a) A demonstration may be conducted after the CO executes the proper agreement with the vendor.
 - (b) The proper way to test contractor-owned products is to contact the CO. The CO can submit an advertisement to the CBD describing the particular capability and other appropriate information. This will remove the appearance of any favoritism to any particular vendor. Be prepared to allow equal time to all vendors who wish to demonstrate their products.

(c) General guidelines:

- You may listen to anything the contractor has to say regarding their capabilities.
- You are never authorized to contact a vendor regarding any particular requirement you may have.
- You must be extremely careful when requesting "general" information not to give vendors any advance procurement information.
- You may never request that a vendor demonstrate a particular product or capability without first contacting the CO to request that a vendor demonstration agreement be executed with the vendor.
- Be prepared for direct contact from vendors. You may provide information about such things as the future direction of your organization/goals (i.e. upgrade of communications system planned for 2001) but not information on specific procurements.

b. The FAR system prescribes procedures applicable in each of the above situations. Some of the above responsibilities may be specifically delegated by the CO to his representatives. Circumvention of established procedures to expedite an action may give a particular vendor an advantage over others and is expressly prohibited. Accordingly, all individuals must scrupulously avoid any of the aforementioned unauthorized acts. In accordance with the DoD instructions for Standards of Conduct, anyone involved with source selection for a procurement action will be required to complete a Financial Disclosure Form, provided by the CO. Commanders are responsible for disseminating and ensuring compliance with the foregoing guidance throughout their commands.

Chapter 5 Executing Approved Acquisition Packages

5-1. TRADOC Contracting Activity (TCA). TCA manages contracting for information systems, information system equipment or information services in excess of \$100K, including hardware, software (including software license agreements), firmware, information services, software maintenance, updates, license renewals, repair parts valued over \$100K (per purchase request), teleprocessing services and modems, and visual information resources. Teleprocessing services and modems (with the exception of those modems needed with commercially leased circuit requirements) are considered automation requirements. Hardware maintenance requirements are processed if purchased with a system, or if hardware and software maintenance must be under a single contract for reasons of systems integrity. (If the software portion of a combined maintenance requirement is less than \$100K, then the combined requirement will be processed by the DOC). Figure 5-1 provides the submission dates to ensure TCA can process an acquisition package. TCA does not manage contracting for:

- a. All general/supply items (i.e., diskettes, computer tapes, ribbons, ink/toner cartridges, repair parts costing less than \$100K).
- b. Hardware maintenance (unless purchased for hardware system at the time hardware contract is negotiated or unless hardware and software maintenance must be under a single contract for reasons of system integrity).
- c. Delivery orders written against requirements type contracts issued by other than TCA. TCA will continue to process those requirements for which the activity chooses to utilize TCA contracting support.
- d. Procurement requests citing nonappropriated funds.
- e. Automation resources valued at \$100K or less per purchase request (splitting requirements to get under the threshold is prohibited). Items valued at \$100K or less should be reviewed to determine the feasibility of combining like actions. If this causes the value to exceed \$100K, forward the action to TCA.
- f. Communications equipment and facsimile equipment.
- g. Moving services for government-owned equipment.

TYPE	CUT OFF DATE ¹
OPEN MARKET CONTRACT: \$100K - 500K OVER \$500K OVER \$30M	1 May 15 MAR 1 MAR (ACQUISITION PLAN REQ'D)
PURCHASE ORDER/GENERAL SERVICES ADMINISTRATION (GSA) DELIVERY ORDER	15 AUG
DELIVERY ORDER (REQUIREMENTS CONTRACT)	15 AUG
RENEWALS (UNDER \$100K OR GSA)	1 AUG
MODIFICATIONS (WITHIN SCOPE): - EXERCISE OF OPTION (FOR NEXT FY) - CONTRACT - PURCHASE/DELIVERY ORDER	1 JUL 30 JUL 15 AUG
¹ If expiring appropriation is cited for a 1 Oct start date.	

Figure 5-1. Submission Dates

NOTE 1: Dates are established to allow sufficient time to conduct all required procurement actions and for mail to reach DOIMs and finance offices by the end of the fiscal year (FY).

NOTE 2: Target dates are established with the assumption that a complete package is received by the date indicated. If the package is deficient, every effort will be made to process the award prior to the end of the FY; however, success is not assured. Requiring activities are encouraged to coordinate with TCA in advance of target submission dates to ensure timely processing.

NOTE 3: Cut-off dates are the same for sole source and competitive actions.

NOTE 4: TCA will accept faxed copies to start acquisition process for open market or bid quotations. However, TCA must receive original paperwork prior to placement of order. No fax will be accepted for GSA or requirements contracts. The latter is one process, and TCA must have original prior to start.

5-2. Offloads - Interagency orders and intra-DoD contract offloads.

a. An interagency order uses contracting support from non-DoD agencies. An intra-DoD contract offload uses contracting support outside TRADOC but within DoD.

b. The use of offloads does not relieve senior leaders of acquisition and management responsibilities. Advantages of offloads include reduced lead time for contract award; economies of scale; and use of non-TRADOC technical expertise. The risk of using offloads is that since TRADOC does not manage the contract, TRADOC may have little recourse in case of default or poor performance.

c. TRADOC Chief of Staff issued a memorandum, ATBO-ACA, 4 Apr 97, subj: Contract Offload Documentation Requirements, to govern the prudent use of alternative acquisition methods. The decision and responsibility for obtaining supplies and services from other than the assigned responsible contracting office rests with the commander, director, or chief of the requiring activity. Coordination/notification with the assigned responsible contracting office is required. TRADOC POC for interagency orders and intra-DoD contract offloads is HQ TRADOC, DCSBOS Acquisition Directorate, ATBO-A. DCSBOS can provide other procedures and suggested documentation formats used

to authorize offloads. The general rule is that a complete procurement request package is needed just as if TRADOC issued a contract.

d. The DOIM will review all offloads for information systems, information system equipment and information services below \$200K. HQ TRADOC DCSIM, ATIM-I, will review offloads \$200K and above.

5-3. U.S. government credit card purchase of information system components and information services.

a. Authority for cardholders outside the DOC to purchase information system components and repair parts will be jointly decided by the local DOC and DOIM. License software that requires negotiation for a contract (i.e., software not off-the-shelf) will not be purchased with the international merchant purchase authorization card (IMPAC) used by cardholders outside the DOC.

b. The DOIM and DOC shall institute controls to assure that all required approvals are in place prior to the placement of an order. DOIM authentication is still required IAW para 4-15 above. Installation commanders are authorized to promulgate local guidance on items, or categories of items, that are exempt from case-by-case DOIM authentication, provided architectural control and acquisition oversight can be maintained.

c. Use of the IMPAC card is limited to \$2,500 or less unless the cardholder has received additional training and is specifically granted written authority to have a higher single purchase limit. Requirements shall not be fragmented to avoid this threshold. The IMPAC card shall not be used to circumvent the supply system.

d. When purchasing information system components, the IMPAC card is limited to purchases using OMA funds only.

e. The IMPAC card shall not be used for information services that involve: (1) services exceeding \$2,500, (2) service/maintenance on equipment under contracts awarded by the DOC.

f. Prior to the DOC placing an order over \$2,500 the cardholder shall "consider the offerings of a reasonable number of GSA non-mandatory schedule contractors." Currently there are no mandatory schedules. If a reasonable number of schedules are not considered, then the back-up documentation must contain proper justification.

Appendix A References

AR 11-18
The Cost and Economic Analysis Program

AR 25-1
The Army Information Resources Management Program

AR 70-1
Army Acquisition Policy

AR 71-9
Materiel Requirements

DFAS-IN Manual 37-100-xx, Appendix A
Defense Finance and Accounting Service, Indianapolis Center (DFAS-IN), subject: Financial Management, The Army Management Structure, Fiscal Year 19xx

TRADOC Pam 71-9
Requirements Management

TRADOC Pam 715-6
Independent Government Estimate Preparation Guide

Policy Memorandum

HQDA, ASA (FM&C), 3 Mar 95, subject: Revision to Discount Rates for Use in Economic Analyses (EA)

Policy Memorandum
HQ TRADOC, ATBO-ACA, 4 Apr 97, subject: Contract Offload Documentation Requirements

Policy Memorandum
HQ TRADOC, ATBO-ACA, 3 Oct 94, subject: TRADOC Advance Acquisition Planning System (TAAPS)

Memorandum
HQ TRADOC, ATBO-ACA, 28 Jan 93, subject: TRADOC J&A Handbook

SOP
U.S. Army Training and Doctrine Command, Standing Operating Procedures, Government Credit Card, with Change 1 and 2

Appendix B

Justification and Approval (J&A) document for other than full and open competition

CONTROL NUMBER (See Note 1, below):
Program/Equipment:
Authority: 10 U.S.C. 2304(c) () (See Note 1, below)
Amount (See Note 2, below):

Prepared by:

Typed Name: _____ Date: _____
Title: _____ DSN: _____

PCO (See Note 1, below):

Typed Name: _____ Date: _____
Title: _____ DSN: _____

Technical (See Note 3, below):

Typed Name: _____ Date: _____
Title: _____ DSN: _____

Requirements (See Note 3, below):

Typed Name: _____ Date: _____
Title: _____ DSN: _____

Management (See Note 4, below):

Typed Name: _____ Date: _____
Title: _____ DSN: _____

Signatures are required below (See Note 1, below):

I have reviewed this J&A and find the justification adequate to support other than full and _____ competition.

Local SADBUI

Signature _____ Date: _____

Typed Name: _____ DSN: _____

Local Competition Advocate

Signature _____ Date: _____

Typed Name: _____ DSN: _____

Local Legal Advisor

Signature _____ Date: _____

Typed Name: _____ DSN: _____

Program Manager

Signature _____ Date: _____

Typed Name: _____ DSN: _____

TRADOC Staff Judge Advocate

Signature _____ Date: _____

Typed Name: _____ DSN: _____

TRADOC Principal Assistant Responsible for Contracting

Signature _____ Date: _____

Typed Name: _____ DSN: _____

TRADOC Special Competition Advocate

Signature _____ Date: _____

Typed Name: _____ DSN: _____

TRADOC Head of Contracting Activity

Signature _____ Date: _____

Typed Name: _____ DSN: _____

NOTE 1: Leave blank -- to be completed by CO.

NOTE 2: "Amount" includes the total potential value of the proposed contract including all options. If optional quantities or time periods are anticipated, show each separately with a total amount.

Example:	Base Year	\$1M
	First Option Year	\$1M
	Second Option Year	\$1M
	TOTAL	\$3M

NOTE 3: The "Technical" and "Requirements" person may be the same person. If that is the case,

NOTE 4: The TRADOC J&A Handbook designates the level where the "Management" person must be in t

CONTROL NUMBER * _____

a. Contracting office. Specify the contracting office responsible for this action.

b. Description of action. Describe the nature of the contractual action for which approval is requested (i.e., new contract, modification). Include type of contract (i.e., Firm Fixed Price, Cost Plus Award Fee, etc.) and type and year of funds to be used (Research and Development, OPA, OMA).

c. Description of supplies/services. Identify the requiring activity and the supplies and/or services to be acquired. Include quantities and/or the performance period, as well as the estimated total value (including options if any).

d. Authority cited. Only insert "Urgent" or "Only One Responsible Source" -- the CO will complete the rest. If both apply, or if requirement is other than one of these, leave blank -- the CO will complete. The CO will identify the statutory authority, Federal Acquisition Regulation (FAR) title and FAR citation permitting other than full and open competition.

e. Reason for authority cited. Describe how this action requires the use of authority cited. If applicable, identify the proposed or potential product or contractor(s) and include a discussion of the proposed contractor's unique qualifications for fulfilling the contract requirements. If the authority is urgent, include the required delivery schedule and lead times involved, together with a chronology of all relevant events that led to the "urgent" situation, beginning with the date the requirement became known. Events must clearly show that "urgency" did not result from a lack of preplanning, and that all government persons involved were doing everything possible to move requirement through the process to contract award and performance.

f. Efforts to obtain competition. Leave blank -- will be completed by the CO. Contracting officer will describe efforts made to ensure that offers are solicited from as many potential sources as is practicable. Also, the CO will describe the extent of effective competition anticipated for this acquisition.

g. Actions to increase competition. Include a statement of the actions taken (or to be taken) to increase competition

before any subsequent acquisition of the supplies or services is required. There may be instances where it is not possible to compete the current acquisition. Explain how competition will be increased or enhanced for the required supplies or services (to include breakout or other considerations). If the requirement is a repair part, address whether or not it has been screened under DoD Federal Acquisition Regulation (DFARS), Appendix E (6). If screening has occurred, provide the acquisition method code (AMC) and acquisition method suffix code (AMSC). Provide approximate date of technical data package (TDP) availability.

h. Market survey. Market surveys are normally conducted by the requiring activity together with the CO. Describe the extent of the market survey (FAR 7.101 and Army Federal Acquisition Regulation Supplement (AFARS) 7.105(b)(1)) conducted to identify all qualified sources and the results thereof, or, only if justified, reasons why one was not conducted. Attach a copy of the approved waiver if over \$10M. Signature of the installation activity competition advocate on the J&A will signify approval of the waiver on requirements not exceeding \$100K. The signature of the approval authority will signify approval of the waiver on requirements exceeding \$100K, but not exceeding \$10M.

i. Interested sources. Leave blank -- will be completed by the CO. The CO will include a listing of the sources that expressed written interest in the acquisition. If 10 U.S.C. 2304(c)(1) is the intended authority, the CO will explain why such other sources responding to the synopsis were rejected. A sources sought synopsis should be issued as soon as the acquisition package is received, so contractors may respond while the J&A is being processed. Results of the synopsis must be included in the J&A. If applicable, clearly state "To date, no other sources have expressed an interest in writing." Also include the date the CBD notice was published, and a statement that any bids and proposals received shall be considered. If a CBD notice will not be published, the CO will state which exception in FAR 5.202 applies.

j. Other factors. Discuss any other factors supporting the use of other than full and open competition, such as those listed below.

(1) Procurement history. The following items of information are expected:

(a) Contract number and dates of the last several awards.

(b) Competitive status of these actions.

(c) Authority for less than full and open competition previously used.

(d) If a J&A was prepared to support the previous buy, briefly describe the actions to increase competition (para g) mentioned in the prior J&A, and explain the results thereof.

(e) If any prior award was accomplished by full and competition, explain the changed circumstances in detail.

(f) Explain any unusual patterns which may be revealed by the history (e.g., several consecutive, urgent buys).

(g) If a J&A was prepared to support the previous buy, briefly describe the circumstances justifying the last buy and whether there have been any significant changes.

(2) Reasonable efforts to retrieve required information are expected. Resources include past contract files, and the Competition Management Office.

(3) Acquisition data availability. Explain why technical data packages, specifications, engineering descriptions, statements of work, or purchase descriptions suitable for full and open competition have not been developed or are not available. Describe actions taken or planned to remedy this situation.

(4) Unusual and compelling urgency. When FAR 6.302-2 is cited, provide data, estimated cost of other rationale as to the nature and extent of the injury to the government. If a requirement for first article testing is the principal reason for not awarding the contract on a full and open basis, clearly describe the reasons that this testing is required. Explain why other means of assuring quality are not being used (no need to repeat information in para e).

(5) Subcontracting competition. In single source situations, address efforts to be taken by the government to assure that the prime contractor obtains as much competition as possible in its subcontracting.

k. Technical certification. Include the following statement:

"I certify that the supporting data under my cognizance, which are included in the J&A, are accurate and complete to the best of my knowledge and belief."

(TO BE SIGNED BY THE DOIM)

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

l. Requirements certification. Include the following statement:

"I certify that the supporting data under my cognizance, which are included in the J&A, are accurate and complete to the best of my knowledge and belief."

(TO BE SIGNED BY THE REQUESTER)

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

m. Management review/approval. Include the following statement:

"The requirement herein described is a valid requirement of the activity named in para 3 of this J&A. The technical and requirements information in the J&A represent the minimum needs of the government. The only way to satisfy this requirement is by limiting competition as described herein."

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

n. Fair and reasonable cost determination. The CO will include the following determination:

"I hereby determine that the anticipated cost for this contract action will be fair and reasonable." Provide the basis for this determination (e.g., describe techniques used to determine fair and reasonable price, such as cost analysis, price analysis, audit, cost, independent government estimate (source of costing information), etc.).

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

o. Procuring contracting officer certification. This person shall be the Contracting Officer who will sign the contract resulting from this J&A. Include the following statement:

"I certify that this J&A is accurate and complete to the best of my knowledge and belief."

NAME: _____ DATE: _____
TITLE: _____ SIGNATURE: _____

Approval

Based on the foregoing justification, I hereby approve the procurement of (state equipment/services being procured) on an Other Than Full and Open Competition basis pursuant to the authority of 10 U.S.C. 2304(c)(* Insert exception number). This procurement action is subject to availability of funds, and provided that the services and property herein described have otherwise been authorized for acquisition.

DATE: _____ SIGNATURE: _____

Note: Paragraphs k through o and the approval should be put on a separate page to allow for clerical and minor changes to be accomplished.

Appendix C

Checklist for information system solution acquisition

Following is a comprehensive checklist of the information applicable to information system, information system equipment or information service acquisition actions. Include all information that applies to your particular action.

a. Specifications.

- (1) For hardware.
 - (a) Functional specifications.
 - (b) Equipment performance specifications.
 - (c) Design specifications.
 - (d) Plug-to-plug compatibility.
 - (e) Brand name or equal description (salient characteristics).
 - (f) Performance work statement.
- (2) For firmware (embedded in system software; is hardwired):
 - (a) Functional specifications.
 - (b) Firmware performance specifications.
 - (c) Design specifications.
 - (d) System objectives.
 - (e) Brand name or equal description (salient characteristics).
 - (f) Performance work statement.

NOTE: Performance specifications are the most preferred.

- (3) For software:
 - (a) Type software requested (i.e., WP, spreadsheet, etc.).
 - (b) Functional requirements (what it must do for you).
 - (c) Compatibility requirements.
 - (d) Statement about hardware on which the package will be used.

b. Training.

- (1) Types of training required.
- (2) Course objectives.
- (3) Number of courses.
- (4) Training site:

(a) If on-site Government facilities are to be used, describe the location, type of facility, available space, available utilities, etc.

(b) If training site is contractor facility, unless otherwise specified, the government pays all TDY costs.

- (5) State if government-owned equipment will be used/furnished.
- (6) State if contractor is expected to provide equipment.
- (7) Number of students to be trained.
- (8) Type of course material required.

- (9) State if students are to retain course material upon completion of training.
- (10) State amount of systems knowledge the student can be presumed to have prior to training (level of expertise).
- (11) Training must be funded with OMA funds authorized for the fiscal year in which the services are received. The only exception is training ordered as part of a system and not separately priced or separately orderable. In that case, you can use OPA dollars.

c. Environmental and physical factors. If the equipment is to be placed by the contractor in government facilities, the specifications should include:

- (1) Available power (include information regarding cabling specifications and what methods a contractor may or may not use to connect to available power (i.e., will they just have to plug in or will it be more complicated)).
- (2) Available air conditioning (if additional is required, does contractor have to furnish?).
- (3) Floor area (include total space and space available).
- (4) Access door dimensions.

d. Installation.

(1) If the contractor is to perform installation services, the specification must include everything you expect the contractor to do (i.e., installation of raised flooring, supply all connectors, install air-conditioning, etc.).

(2) If installation services require the contractor to make alterations to existing government facilities, you need to coordinate with and/or obtain Directorate of Public Works (DPW) approval. Be sure to contact DPW early in your preplanning stage to avoid any government-caused delays (may cause an increase in contract price). You may want to include a provision to allow the government to delay scheduled delivery up to "x" number of days at no additional cost to the government.

e. For maintenance service.

(1) Remedial maintenance (may be mixed and matched if necessary).

(a) On-site.

(b) On-call.

(c) Per-call.

(d) Mail-in.

(2) Preventive maintenance (PM).

(3) Principal period of maintenance (PPM).

(4) Outside of the principal period of maintenance (OPPM).

(5) Location of equipment/service.

(6) Model and serial number.

(7) Length of systems life.

(8) Technical qualifications/experience requirements (furnish this information if applicable).

f. Suggested vendors. Whenever possible, name at least three vendors who can meet the requirement. If sources are not provided, the CO may determine that a notice in the CBD is required to locate other sources. The CO may also choose to contact additional vendors on the Bidders' Mailing List. Sources for technical information include, but are not limited to, trade journals, weekly and monthly periodicals, technical information and research publications, technical forecasts and business publications. THE REQUIREMENT FOR SUGGESTED SOURCES DOES NOT, AND SHALL NOT, BE CONSTRUED TO AUTHORIZE PROHIBITED CONTACTS WITH VENDORS AND CONTRACTORS.

g. Security requirements. If contract request involves classified information, you must complete a DD Form 254. This includes access to a classified facility as well as processing and development of classified information.

h. Data deliverables. If the contract will require the contractor to develop and deliver data of any kind, DD Forms 1423 and 1664 must be completed and included as part of the acquisition package. The forms are not required for commercially available manuals or other publications.

i. Operational capabilities demonstration (OCD). State if you desire to reserve the right to have offerers demonstrate their capability to provide a product that performs IAW stated specifications. Also state whether you desire the OCD to be at the contractor's site, or at your (or another government) site. OCDs are accomplished prior to award to supplement the technical evaluation.

j. Benchmark. If you are buying a major system, you may need to process actual workload data to ensure the offered system meets stated performance requirements. You must fully describe the benchmark procedure with a sample representative scenario. The actual benchmark must accurately represent the actual workload your activity processes. You must fully document/justify the data to be used in the benchmark to ensure you are testing your actual requirement. Mandatory benchmarks shall not be used in solicitations for information technology systems valued at less than \$200K, unless there is no other acceptable means of validation. If benchmarks are necessary, solicitations shall not require the running of "worst case" benchmark programs unless these programs are representative of the using activity's actual/anticipated data processing needs. "Worst case" benchmark programs are programs that require extensive reprogramming or conversion.

k. Option years/optional quantities. We recommend you include all years and quantities you reasonably expect to require in one procurement request. This normally results in better prices, ensures continuity, facilitates standardization, and takes far less acquisition lead time. The government is under no obligation to exercise options.

l. New vs. used/refurbished. If the acquisition package lacks adequate justification for only new equipment, offers from vendors who supply refurbished equipment will be solicited. The vendor who supplies refurbished equipment will be required to provide, upon delivery and installation, a certificate of maintainability from the original equipment manufacturer (OEM). The equipment will not be accepted until the OEM certificate is provided. Contracting will also require anything else you advise is necessary.

m. All or none. "All or none" requirements are restrictive in that they narrow competition. The key is that when "all or none" is specified, it must be supported by a written justification by the user. Each case must support the government's contention that, if multiple awards are made, the specific circumstances surrounding the acquisition are such that the government/mission would be harmed. There are many third party vendors who are in a position to provide memory upgrades, disk drives, and other peripherals compatible with the brand name, but who are not interested in providing the complete system. Unless your package contains an acceptable "all or none" justification, offers resulting in multiple awards will be considered.

n. Vendor demonstration. Be careful in any dealings with vendors. Demonstrations are permissible, but do not let the contractor tell you what your requirements are—that's your job. Do not accept a vendor's offer of a "30 day free trial". It's a good marketing technique on his or her part. Once you get used to something, giving it up may be difficult. Be advised that this sort of situation will not be a justification for sole source. If you wish to have a vendor demonstration, contact your local DOC or TCA for additional guidance and necessary forms. A vendor demonstration agreement must be executed prior to any demonstration.

o. Statements for funding certifications.

(1) DFAS IN Reg 37-1 provides for a fund restriction to be inscribed on the funding document when such documents must be processed prior to fund availability, as follows:

(a) The Government's obligation is made contingent upon Congress enacting appropriations.

(b) Solicitations may be issued when funds are not available IAW the circumstances set out in AFARS 1.602-2. The AFARS provides for "high priority" requirements. These are requirements for which the initiating and approving authority determines that there is a high probability the requirement will not be canceled, and for which it is believed funds are reasonably assured of becoming available for obligation (AFARS 1.602-2). For these requirements, it is necessary that the PR&C be certified with the following statement and signed by the comptroller or his/her designee:

"This requirement is included or provided for in the financial plan for FY _____. The accounting classification will be _____. This statement is not a commitment of funds."

(c) Note that the primary difference, for contracting purposes, between "Subject to Availability of Funds" (SAF) requirements and high priority requirements is that the FAR permits award SAF. However, the contract may not begin until funds are available. The AFARS permits high priority requirements to be processed only to the point of award.

(d) Based on the above, funding documents for those requirements SAF must contain the fund restriction set out in DFAS IN Reg 37-1. It does no harm if the Funds Certifying Official adds, for clarity purposes, an indication that the funding is SAF (i.e., "This requirement is subject to the availability of funds"). High priority requirements must contain the fund restriction set out in AFARS 1.602-2, and it must be signed by the budget officer.

(2) When the fund restriction is removed, it must be clear that funds are certified as available. Thus, if any fund restriction is included on the PR&C, the budget officer cannot also certify the funds as available since the restriction and the certification are mutually exclusive. The document lifting the fund restriction must also certify the funds as available. The simplest way to do this is to use the language found on the PR&C. The budget officer can use a "shorthand" version, such as "funds are certified as available," providing there is no other conflicting finance regulatory requirement. Additionally, the written certification to remove any funding restrictions must reference the PR&C number as well as the amount of funds being certified.

p. Renewals. Renewal requests should be submitted to the contracting office by 1 Jun for the next fiscal year to ensure there is no lapse in contractual coverage. If the package is received by the CO without all required information/documentation, a deficiency letter will be sent to the cognizant DOIM. The incumbent vendor will be officially notified that contractual coverage will end when the current contract expires. If TCA receives the requested information/ documentation within ten days after receipt of the notification of deficiencies, TCA will advise the contractor that he has the authority to continue performance pending award of the follow-on contract. Under no circumstances will the CO give this authority if the information/documentation is not received. If services are requested and accepted without benefit of a contract or without the expressed authority of the CO, the installation DOC must ratify the "unauthorized commitment." If there are no plans to renew a contract, the contracting office should be notified as soon as the decision has been made so that the contractor can be notified.

q. Statement of Work (SOW). In addition to the foregoing, consider the following in preparing SOW/specifications:

(1) The product/service which results from the contract is totally dependent on the quality of the SOW specifications that are put into the acquisition package. It must be clear to the negotiator who must buy the desired item(s)/service, the prospective contractors who are bidding, and to the individual(s) responsible for contract administration. The minimum needs of the government shall be described by plans, drawings, and/or specifications, which describe the supplies and services. This will be done in a manner which will encourage maximum competition and eliminate, to the maximum extent possible, any restrictive features. Restrictive features might limit acceptable offers to one supplier's product, or the products of a relatively small number of suppliers.

(2) Hardware specifications. Types of hardware specifications (in descending order of preference (normally only one type per package)):

(a) Functional specifications maximize competition. They describe the program objectives, based on mission needs, in a form that the system is intended to accomplish. Also they depict the data processing requirement underlying that accomplishment. The latter includes a description of the data output and its intended uses, the data input, the data files and record content, the volumes of data, the processing frequencies, timing and such other facts. These are necessary to provide for a full description of the mission need to be satisfied. Due regard to the nature of the property or services to be acquired may require the use of restrictive provisions or conditions, but only to the extent necessary to satisfy the needs of the agency. The functional specifications may be augmented with equipment characteristics and elements of performance when necessary to reflect the user's needs.

(b) Equipment performance specifications are a statement of minimum user output requirements such as: (1) the amount of data that needs to be stored or processed within a given time, (2) the number of lines of print that must be produced over a given time, and (3) the operational reliability. The statement is supplemented to the extent necessary with: (1) those hardware factors, devoid of as much vendor orientation as possible, such as cycle time, computing speed, tape read or write speed, printer speed, size of memory, expandability (modularity), etc., and (2) the related software factors which are a measure of the operating capability of the equipment. These factors, when applied to the functional specifications, provide a quantitative measure of the operating time or capacity required to process the applications involved on that equipment.

(c) Design specifications set forth precise measurements, tolerances, materials, tests, quality control, inspection requirements, and other specific information. Under this type of specification, the government is responsible for the design, as well as for omissions, errors and discrepancies in the specifications and drawings.

(d) Plug-to-plug compatible. This is typically defined as computer mainframes that can directly execute all application programs and system software written for specific mainframes (i.e., IBM, Unisys, Honeywell, etc.). They can also use the peripheral equipment available for these computers. Plug compatible mainframes can be easily installed, can replace or augment mainframes with little or no need for changes in software or operating procedures. Compatible devices are those peripherals that can plug into a specific mainframe and perform the job it was designed to do (i.e., storage, communications, print, etc.), without modification.

(e) A "brand name or equal" description is used when, because of technically involved construction or other supportable reasons, an adequate specification cannot be furnished. This technique should be used only when adequate specification or a more detailed description cannot feasibly be made available by means other than reverse engineering in time for the procurement under consideration. When using brand name or equal specifications, the item, manufacturer, part/catalog number, and salient characteristics must be provided. The salient characteristics must set forth all the features which are required to meet your minimum needs. Consideration should be given to allow all acceptable parameters of a specific salient characteristic (i.e., if the brand name printer speed listed in the manufacturer's literature says 60 cps, your acceptable parameters may be a minimum of 50 cps to a maximum of 70 cps). This shows the government's good faith and removes appearances of restrictive specifications. Remember—a proposed item cannot be determined unacceptable if the deficiency listed is not set forth as a salient characteristic. When requesting brand name or equal, you must certify that there is an equal, and list all known sources.

(f) Specific make and model specification means a description of a government requirement expressed in a form so restrictive that only the specified make and model will satisfy the government's need. This is irrespective of the number of suppliers that may be able to furnish the specific make and model. The use of this type of specification is considered to be other than full and open competition and must be certified, justified, and approved IAW FAR 6.303 and 6.304. In all cases, the justification must address why no other type of supplies or services will satisfy the agency's needs and the practical factors which preclude the development of a less restrictive specification.

(3) Services. The performance work statement (PWS) is used typically in a service contract. It is a form of a SOW which describes what is to be done, rather than how it should be done. For example, we would say "wash the windows making them free of streaks and smudges, both interior and exterior" as opposed to "wash the windows by filling a pail one-half full of warm water, add one-fourth cup ammonia, place dirt-free sponge in water, use vertical strokes followed by horizontal strokes, etc." Office of Federal Procurement Policy (OFPP) PAM 4 provides guidance on preparing a PWS. OFPP PAM 4 can be acquired through the local DOC or TCA office.

(4) Maintenance. If your requirement is for maintenance service (or the maintenance portion of a hardware/software purchase contract), be sure to consider the following minimum factors:

(a) Types of remedial maintenance required (these types can be "mixed and matched" if necessary).

- On-site maintenance may be required when the size, complexity, criticality, etc., of your system is such to warrant having one or more maintenance people on duty at your facility during your PPM to respond to problems. This "insurance policy" type arrangement is very costly. The Government ends up paying the contractor, regardless of the amount of work performed. The Government normally provides office space for the contractor personnel, telephone service, and basic utilities.
- On-call maintenance is basically having a contractor on retainer in case you need service. The repairman is called when there is a problem with your system that is covered by the terms and conditions of the contract. He then responds within the specified response time and takes care of the problem. This, like on-site maintenance, is normally a fixed monthly charge that we pay, regardless of the number of times we call him.
- Per-call maintenance is the same as on-call except that we pay the contractor a fixed price for each time he is called to come out, instead of a set monthly rate. If this type maintenance is right for your facility, you must provide an estimated number of calls for each item or class of items. Potential competitors will price their proposals based on the estimated number of times we tell them we expect to call them. You will not be restricted to this estimated number, but the estimate will be reviewed periodically to see if you are within a reasonable range. If we are using considerably less than we said we would, the contractor may be entitled to an increase in their per-call rate. If we are using considerably more, we have exceeded the scope of the contract; and the total requirement may have to be recompeted.
- Mail-in maintenance is rarely used but is effective in some circumstances. If you can be without your equipment for a certain amount of time (you specify how long), then this normally low cost approach may be for you. Typically, this will be for personal computers (PCs), printers, and other smaller items. If you are in a remote location where no contractors have established facilities, this may be the only thing you can afford. Be sure to

indicate the estimated number of times you anticipate sending an item (or class of items) for the same reasons cited above for per-call maintenance. Also, be sure to indicate whether you will pick up the shipping charges [Government Bill of Lading] or if you want the contractor to pay for it. You may want to ship the equipment to the contractor and have him pay for the return trip.

(b) If you require PM, you must state what minimum schedule you expect as well as the type of things you expect the contractor to do.

(c) It is important to indicate the PPM during which you expect the contractor to perform. This period is typically the primary working hours of your facility. It may be longer if you can justify it, or shorter if you feel that the probability of having to make a service call during a portion of your workday is less than at another time. These are decisions that you must make based on the mission requirements of your facility. Just keep in mind that the longer your PPM, the more you will have to pay.

(d) You may also want to have coverage for OPPM. We can establish a separate line item for OPPM coverage if you feel you need it. The OPPM coverage can be on a per-call basis during whatever hours/days you specify. The OPPM rates will typically be higher than PPM rates, but you may have a bona fide need for this type of coverage. If you have a system crash on a weekend, you may wish you had OPPM coverage. You do not want to make an unauthorized commitment to a contractor, and then have to go through the necessary administrative and legal actions and paperwork with the CO, legal counsel, and Office of the Principle Assistant Responsible for Contracting (OPARC).

(e) Response time. You must state the timeframe during which the contractor must respond, as well as what constitutes a response (phone call, show up). It may also be wise to indicate the length of time a contractor has to complete repair. Consider whether downtime credits are applicable; if so, how much and at what point they will begin.

(f) Location of equipment/service. Be sure to include complete street address with building and room numbers for each piece of equipment.

(g) Model and serial numbers. The equipment to be serviced must be identified. This assures the contractor that he is repairing a piece of equipment covered by the contract.

(h) Length of systems life. This information will allow us to cover your maintenance requirements with one competitive action. You will know who your maintenance vendor is for that specified period, but you will not have to continue with him after each option year if you are not satisfied.

(i) Technician qualifications/experience requirements. Your requirement may be such that you want to specify minimum qualifications/experience (be careful not to over specify). Resumes will be requested to evaluate proposed qualifications.

(j) Name/phone number of the person you are designating as the single POC to interface with the contractor. This is important to alleviate problems that will result if unauthorized persons are allowed to call the contractor. Unauthorized commitments may result if the contractor is directed to do something not covered by the contract.

(5) Software.

(a) A SOW for automated software development must be reviewed and approved by the local DOIM prior to submission to the CO. This review/approval is required to ensure that the desired end product is clearly defined and includes deliverables developed IAW applicable legislative, DoD and DA regulatory guidance.

(b) When developing a SOW for software development, the process must be carefully defined, the responsibilities of both parties must be clearly stated, and the product (deliverables) at each stage of development must be identified.

- Many difficulties must be anticipated. We often attempt to define exactly what is being purchased, even though the buyer and the seller may not know. We must define levels of quality, where quality standards may not exist. We must define payment terms without knowing what costs should be.
- Great care must be given to providing as much detail as possible.
 - Clearly state your system objectives.
 - Be realistic when stating requirements.
 - Develop measurable performance criteria.

- If there are to be progress reviews, be sure to state how many, and where and when they will be held.
 - Indicate when each deliverable will be due and whether you want it in draft or final form.
 - Describe what media is required and what format you expect.
- When establishing the parameters of the contract scope, try to include initially everything possible to avoid later change outside the scope. If a change outside the scope is required after award, it is virtually impossible to compete the change. The modification will have to be sole source, and all appropriate approvals will have to be obtained.
 - Off-the-shelf commercial software packages have been a topic of controversy. Installation or TRADOC standards have been established, often without consideration being given to the procurement problems encountered when requesting a "specified make and model". The FAR requires special approvals when contracting for something utilizing procedures for other than full and open competition. Regardless of the circumstances surrounding the establishment of a standard, procurement procedures relative to the required J&A must be adhered to. Open competition is restricted by the establishment of a standard. We recommend submitting a J&A for your systems life requirement. There are no guarantees that the approving officials will go along with your reasons for standardization, but we will assist you in the attempt. A General Accounting Office (GAO) decision on the standardization issue does not give credence to the agency's claim of savings on training costs. GAO said there is no evidence that the training costs could not be offset by lower costs obtained through a recompetition. GAO ordered the agency to re compete. The bottom line here is that your justification is going to have to be persuasive in explaining the technical reasons why your standard was set and what benefits are being derived. The appropriate method in setting a standard should be through a competitive acquisition procedure resulting in a requirements contract for the anticipated required quantity. Your standard would be set, and you could place orders for your required quantities, all being counted as competitive.
- r. Non-personal services questionnaire. Must be completed and provided to the CO for all requests for services of any kind.
- s. Additional information. More detailed guidance is available from TCA regarding the technical evaluation process, workstation planning, agency procurement requests, and software development requirements. Contact TCA directly for assistance with these and other procurement-related topics.

Glossary

Section I Abbreviations

AMC	acquisition method code
AMSC	acquisition method suffix code
BPR	business process reengineering
CAN	campus area network
CAPR	capabilities request
CBA	cost benefit analysis
CBD	Commerce Business Daily
CO	contracting officer
COR	contracting officer's representative
CUITN	common user installation transport network
DFARS	DoD Federal Acquisition Regulation Supplement
DFAS-IN	Defense Finance and Accounting Service, Indianapolis Center
DISA	Defense Information Systems Agency
DMS	Defense Messaging System

DOC	Director(ate) of Contracting
DOIM	Director(ate) of Information Management
DOL	Director(ate) of Logistics
DPW	Director(ate) of Public Works
EA	economic analysis
FAR	Federal Acquisition Regulation
FY	fiscal year
GAO	General Accounting Office
IAW	in accordance with
IGCE	Independent Government Cost Estimate
IMA	Information Mission Area
IMO	Information Management Officer
IMSC	Information Management Support Council
IS	information system
IT	information technology
J&A	justification and approval
JTA	joint technical architecture
KEI	key enabling investments
LAN	local area network
LCR	life cycle replacement
LOI	letter of instruction
MACOM	major Army command
MAISRC	Major Automated Information Systems Review Council
MDEP	Management Decision Package
MIPR	Military Interdepartmental Purchase Request
OA	operational architecture
OCD	operational capabilities demonstration
ODISC4	Office of Director of Information Systems for Command, Control, Communications, and Computers
OEM	original equipment manufacturer
OFPP	Office of Federal Procurement Policy
OMA	Operation Maintenance, Army
OPA	Other Procurement, Army
OPPM	outside principal period of maintenance
ORD	Operational Requirement Document
PBG	Program Budget Guidance
PM	preventive maintenance
POC	point of contact
POM	program objective memorandum
PPM	principal period of maintenance
PRAC	Principal Review and Advisory Committee
PWS	performance work statement
RDA	Research and Development Acquisition
RFS	request for service
RM	resource management
SA	systems architecture
SADBU	Small and Disadvantaged Business

SAF	subject to availability of funds
SES	Senior Executive Service
SOW	statement of work
SSA	supply support activity
TA	technical architecture
TAFIM	Technical Architecture Framework for Information Management
TCA	TRADOC Contracting Activity
TDA	table of distribution and Allowances
TPRISM	TRADOC Plan for Reengineering Information Systems Modernization
UFR	unfinanced requirement
UIC	unit identification code
WAN	wide area network

Section II

Terms

Information services

Any service performed or furnished by using IT or IS; any service in support of information management.

Information system

Organized assembly of resources and procedures designed to provide information needed to execute or accomplish a specific task or function. Information system equipment consists of components (for example: hardware, software, firmware, products, or other items) used to create record, produce, store retrieve, process, transmit, disseminate, present, or display data or information. (See also Information Technology)

Information system component

Hardware, software, firmware, products, procedures or other items used in the assembly of information systems.

Information system equipment

Equipment that is a configuration of one more information system components used for the creation, recording, production, storage, retrieval, processing, transmission, dissemination, presentation or display of data or information. Information system equipment is used to perform functions associated with automation telecommunications, visual information, printing, publishing and records management in support of the Army's mission.

Information system requirement

Specific functions which an information system must perform (functional requirement); specific components which an information system must contain (system requirement); or specific technical principles or standards an information system must adhere to (technical requirement).

Information technology

Any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, interchange, transmission or reception of data or information. Use is defined as direct use by a Federal agency, including Army or by a contractor under contract with a federal agency when the contract requires the use of such equipment, or requires the use of the equipment to a significant extent to perform the contracted service or furnish the contracted product. Information technology includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services, and related resources. Information technology does not include equipment acquired by a Federal contractor which is incidental to a Federal contract.

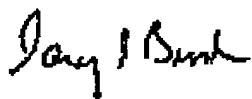
Total program costs

All expenditures for research, development and procurement necessary to field a solution for a stated requirement.

FOR THE COMMANDER:

OFFICIAL:

JAMES J. CRAVENS, JR.
Major General, GS
Chief of Staff



GARY E. BUSHOVER
Colonel, GS
Deputy Chief of Staff
for Information Management

Distribution:
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